



Technical Standards Related to Electronic Filing



COT– September 23, 2011
Stewart Bruner
Jennifer Greene

Context

- ▶ **Rule 124 issued Year 2000**

- ▶ Needed more technical detail for courts to implement, esp since court by court basis
- ▶ So 1-504 on paper conversion and 1-506 on accepting and storing “born digital” docs
- ▶ 1-507 added 3 yrs ago for “no safety net” ops

- ▶ **Rules are changing to support AZTC**

- ▶ Think how different things are from 2001!
- ▶ Catches up with times/new statewide paradigm

- ▶ **Tech standards changing to support and keep pace**

- ▶ Timing to coincide with new 124 revisions
 - ▶ Comments collected in ACJA Web Forum posting
-



1-501 Changes

- ▶ Adds AZTurboCourt to list of statewide automation systems courts must use or obtain COT exception
- ▶ Adds central document repository to list of statewide functionality courts must participate in
- ▶ Changes frequency for submittal of strategic information technology plans from “annually” to “at COT’s discretion”



1-507 Changes

- ▶ Scope was court case records only, now sep rules for administrative records and regulatory records
 - ▶ About same scrutiny as closed records
 - ▶ JGreene can explain more detail
- ▶ TAC replaced MCDB (SQL 2000-centric) w/ MCITP (SQL2005 and beyond) at request of various courts
- ▶ Gives exception to certification for case docs residing in CDR
 - ▶ GJ standalone systems via Doc Transfer Module or
 - ▶ LJ central system (through Disconnected Scanning)



1-504 Changes

- ▶ Focus on metadata, indexing, and quality assurance details
 - ▶ Population of index required – full EDMS vs imaging system
 - ▶ Sealed / restricted indication required in metadata
 - ▶ QA each image for legibility and metadata/index accuracy
 - ▶ Save as TIFF or PDF but must support PDF output on request for AZTC/Intresys “get doc” function
 - ▶ Allows range of scanning densities 200 to 600
 - ▶ Requires primary public access through AOC portal
 - ▶ Adds entire new section for disconnected scanning of open records and closed records
 - ▶ Requires 507 compliance before paper destruction
 - ▶ Unless using AOC-controlled OnBase system
-



1-506 Changes

- ▶ Cut tons of technical detail included before COT-specified EDMS product was named (OnBase)
 - ▶ Requires filing through AZTC / all local e-filing transitions into statewide approach
 - ▶ Requires every CMS and EDMS in courts to have automated interfaces to and integrate with the statewide electronic filing system, unless otherwise directed by Supreme Court
 - ▶ Exempts courts using AOC-controlled EDMS from document maintenance requirements
 - ▶ Authorizes courts to accept electronic ATTCs and affidavits of service
 - ▶ Codifies COT decisions on XML formats allowed – ODT and DOCX
-



1-506 Changes cont'd

- ▶ Allows sealed & confidential filings with appropriate metadata to indicate such
 - ▶ Uses AZTC as authentication source and authoritative date/time source
 - ▶ Allows hyperlinked citations in documents (not official court record)
 - ▶ Requires bookmarks in TOC for docs with multiple appendices
 - ▶ Specifies minimum OnBase keywords for CDR retrieval
 - ▶ Requires 2 year review like EA table due to changing nature and importance to e-filing strategy
-

